

What is the 18th MEDCOM Performance Evaluation Requirements for KGS employees?

References: AR 690-400, TAP Evaluation System

USFK Reg 690-1, Chapter 14, Regulations and Procedures – Korea Nationals

18th MEDCOM Policy Memo 5-3, Civilian Awards Program

18TH MEDCOM Policy Memo 5-5, Civilian Personnel Management

Introduction: The purpose of this fact sheet is to aid supervisors in preparing KGS Performance Plans and Performance Appraisals, but keep in mind, this is an unofficial document. The regulations referenced above are the official guidance on completing and processing awards.

All 18TH MEDCOM civilian employees should be rated annually to meet the requirements of AR 690-1, USFK 690-1 and JCAHO. Army regulations make rating KGS employees optional, as long as they are meeting or exceeding standards. However, JCAHO compliance requires all health care employees to receive an annual evaluation to determine if they are performing to standards in their job. Using the current KGS Performance Evaluation System is the best way to meet that requirement. The time periods for doing evaluations are listed in this fact sheet.

IMPORTANT! Should you put an employee in for a performance award, the past year's performance plan must accompany the **Performance Award Package** for it to be processed. This is in accordance with 18th MEDCOM Policy 5-3, Paragraph 7a.

ANNUAL PERFORMANCE APPRAISAL PERIOD

<i>EMPLOYEE CATEGORY & GRADE</i>	<i>RATING PERIOD</i>	<i>NLT DUE TO DCSRM</i>
KGS 1 – 6	1 May – 30 April	31 May
KGS 7 and Above	1 Feb – 31 January	28 Feb
KWB 1 – 5	1 Nov – 31 October	30 Nov
KWB 6 and Above	1 August – 31 July	31 August

Attachments:

1. Frequently Asked Questions
2. DA Form 7223-1, Used for KGS 8 and below Performance Plan
3. DA Form 7222-1, Used for KGS 9 and above Performance Plan
4. USFK Form 155-E, Korean Employee Performance Appraisal /with instructions
5. DA Form 1256, Incentive Award Nomination and Approval
6. USFK Reg 690-1, KGS Performance Appraisal Regulation

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All forms can be found on the AMEDD Electronic Forms web site.

FREQUENTLY ASKED QUESTIONS

If a KGS employee receives a promotion during the year which elevates them out of the reporting cycle they were in under the old grade, which reporting cycle should the next performance appraisal fall under?

If at least 9 months have passed before the promotion, you may write a performance report under the old grade, however you can not submit a performance award with that performance report. However, this does not preclude you from submitting a deserving employee for a non performance award such as a certificate of achievement, on the spot award, time-off award, or special act award.

By the same token, when you write the first performance evaluation under the new grade, if less than 12 months, no performance award can be submitted with the performance appraisal.

In a nutshell, KGS employees must work in a grade and position for 12 months to receive a performance award with the performance appraisal.

If I am not putting a KGS employee in for a performance award, when must I attach a justification statement and citation to the performance evaluation?

Per USFK 690-1, when you submit an outstanding appraisal on an employee, they are automatically processed for consideration for a Certificate of Outstanding Performance. Therefore, you must do a Justification statement and Citation to accompany the Performance Appraisal. CPAC will not process the appraisal without these two items. The OVERALL RATING block of USFK Form 155K-E identify these requirements.

Less than 12 months since last appraisal and supervisor leaving; and a person detailed into a position, did an outstanding job and the detailed supervisor wants to write a special appraisal, are just two examples of how an employee may receive an outstanding appraisal but not a performance award.

What is the difference between the Justification Statement and the List of Major Duties that is required to accompany the performance appraisal when it is submitted with an outstanding appraisal or performance award package?

The justification statement tells why you think the person deserves recognition. It is based on the actions of the person. The List of Major Duties is a brief list of major duties the employee should have been performing during the period of evaluation. It is based on the Position Description and Performance Plan. The list of major duties is a separate part of the overall Justification statement.

The comparison of these two statements is what gives insight to the coordinating and approving officials, so they can make the decision to recommend the award up the Chain of Command and/or approve the award.

The below USFK Regulation outlines in detail how to complete the KGS employee performance evaluation. Once the performance evaluation is completed, employee gets a copy and the original, with four copies should be given to 18th MEDCOM DCSRM for processing.

BASE SYSTEM CIVILIAN PERFORMANCE COUNSELING CHECKLIST/RECORD

For use of this form see AR 690-400; the proponent agency is ODCSPER

PART I - ADMINISTRATIVE DATA

RATEE		RATER
ORGANIZATION		INTERMEDIATE RATER (Optional)
PAY PLAN, SERIES/GRADE	RATING PERIOD TO	SENIOR RATER
<p>PURPOSE. The primary purpose of counseling is to define organizational mission and values, discuss individual job expectations and performance, reinforce good performance/work related behavior, correct problem performance/work related behavior, and enhance the Ratee's ability to set and reach career goals. The best counseling is forward looking, concentrating on the future and what needs to be done better. Counseling should be timely. Counseling only at the end of the rating is too late since misunderstandings that impact performance and work related behavior cannot be resolved in time for improvement before the next annual rating.</p> <p>RULES FOR COUNSELING.</p> <ol style="list-style-type: none"> 1. Face-to-face counseling is mandatory for all civilians in the Base System. 2. Use this form along with a working copy of the Evaluation Form (DA Form 7223) and the Ratee's position description for conducting performance counseling and recording counseling content/dates. 3. Conduct initial counseling within at least the first 30 days of each rating period and again at the midpoint of the rating period. 		<p>AFTER COUNSELING</p> <ol style="list-style-type: none"> 1. Summarize key points of the counseling on the back of this form and initial in the block provided. You may attach additional pages. 2. Give the Ratee the form to review/initial. 3. If the Ratee gave written input, attach it. 4. Forward the checklist through the rating chain to the Senior Rater who should review and, when satisfied that requirements are in line with mission needs, initial and date the checklist and return it to you. 5. Give the Ratee a copy and keep the original to use for the next counseling session.
CHECKLIST - COUNSELING AT THE BEGINNING OF THE RATING PERIOD		CHECKLIST - LATER COUNSELING SESSIONS(S)
<p>PREPARATION</p> <ol style="list-style-type: none"> 1. Schedule the counseling session and notify the Ratee. Suggest the Ratee write down or be ready to discuss ideas about expectations and requirements. 2. Get a copy of the Ratee's position description, rating chain, the counseling checklist, and a blank evaluation form. <p>Think how each Value and each Responsibility in Part V of the evaluation form applies.</p> <ol style="list-style-type: none"> 4. Decide what you consider necessary for success in each Value/Responsibility. Be specific. 5. Make notes to help you with counseling. <p>COUNSELING</p> <ol style="list-style-type: none"> 1. Explain the rating chain and the role of each ratee. 2. Discuss the position description. If the Ratee has worked in the job before, ask if he/she believes the description is accurate. 3. Discuss items that require top priority effort (areas of special emphasis)—realizing this may change later. 4. Discuss each Value/Responsibility in Part V of the evaluation form. Ask the Ratee for ideas about what Values mean and how he/she might perform assigned duties. 5. Review the Ratee's written input if he/she provides it. 6. Discuss what tasks and level of performance you expect for Success. 7. If you and the Ratee have different views, discuss them until you both are clear on requirements. Even if the Ratee disagrees, he/she must understand what you expect. 8. Using the DA-established performance standards and the tasks to be accomplished give examples of Excellence to give the Ratee specifics to aim for. 9. Ask the Ratee about career goals and training needs. 		<p>PREPARATION</p> <ol style="list-style-type: none"> 1. Schedule the counseling session with the Ratee. Tell him/her to come prepared to discuss accomplishments and review requirements and review necessary completed training. 2. Review notes from the last session. 3. Consider whether priorities or expectations have changed. 4. For each Value/Responsibility, ask these questions: What has the Ratee done? What has gone well? Why? What could have been done better? Why? 5. Make notes to help focus when counseling. <p>COUNSELING</p> <ol style="list-style-type: none"> 1. Discuss job requirements and areas of special emphasis and priorities that have changes or that are new. Ask the Ratee if he/she is having problems and needs your help. 2. If the Ratee gives written input, review it. 3. Tell how the Ratee is doing. Talk specific examples of observed actions/results. Discuss differences in your view of excellence if needed. The goal is to help the Ratee succeed. 4. Give examples of Excellence that occurred or could have occurred. 5. At least during the midpoint counseling session, discuss the Ratee's career goals, the effectiveness of training, and the Ratee's potential to perform higher level or different tasks. <p>AFTER COUNSELING</p> <ol style="list-style-type: none"> 1. Follow the same procedures for documenting, initialing, and dating as you did for the initial session. 2. At the end of the rating period, use the checklist to prepare the Ratee's evaluation. Then attach the Counseling Checklist/Record to the performance evaluation for use by the rating chain. After the Senior Rater signs the performance evaluation, he/she returns it to the Rater to discuss with the Ratee. After the Ratee signs, the Rater submits the evaluation with the checklist to the servicing personnel for filing.

DA FORM 7223-1, MAY 93

Replaces DA Form 5397, DEC 86, which is obsolete on 31 DEC 94

DA RESPONSIBILITIES AND PERFORMANCE STANDARDS

To derive Responsibilities ratings, think about the tasks that were

FOR POSITIONS WITH SUPERVISORY DUTIES:

performed under each Responsibility and apply the following performance standards which are written at the Success (*Meets*) level; e.g., the Ratee usually:

TECHNICAL COMPETENCE. Has knowledge, skills and abilities to do work. Produces expected quality and volume. Meets deadlines. Works with right amount of supervision. Gets desired results.

ADAPTABILITY/INITIATIVE. Can work under pressure or during changing conditions. Is willing to try new ways. Suggests better ways to do business. Seeks/accepts developmental opportunities.

WORKING RELATIONSHIPS/COMMUNICATIONS. As a team member, works well with group and helps others to get the job done. Expresses ideas clearly. Follows instructions or asks for clarification. Shows respect and is courteous. Shows concern for customer.

RESPONSIBILITY/DEPENDABILITY. Accepts responsibility for own actions. Keeps work area in order and equipment maintained. Uses supplies, equipment and time as intended. Complies with DA emphasis programs, e.g., Total Army Quality (TAQ), safety, security, internal control, inventory management, quality assurance, EEO/AA. Schedules nonemergency leave in advance to avoid adverse impact to work unit effectiveness.

SUPERVISION/LEADERSHIP. Sets and communicates unit goals that reflect organizational goals. Implements/complies with appropriate DA emphasis programs. Sets standard/leads by example. Takes timely/appropriate personnel actions. Recruits/retains quality force. Motivates, challenges and develops subordinates, through counseling on expectations, performance, and career goals; evaluates timely/ Resolves conflict and maintains order.

EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION (EEO/AA). Applies EEO principles to all aspects of personnel management (e.g., hiring, training, work assignments/schedules, discipline, counseling and awards). As appropriate, takes immediate corrective action if sexual harassment or other discriminatory/unfair treatment is observed, reported or suspected. Provides leadership and emphasis to the execution of the Affirmative Employment Plan. Participates in EEO/AA activities and encourages subordinates to do so.

COUNSELING RECORD/INDIVIDUAL PERFORMANCE STANDARDS

DATE OF COUNSELING	RATEE/RATER/ INT. RATER/ SENIOR RATER INITIALS	KEY POINTS MADE
INITIAL		
LATER (Optional)		
MIDPOINT		
LATER (Optional)		

SENIOR SYSTEM CIVILIAN EVALUATION REPORT SUPPORT FORM

For use of this form, see AR 690-400; the proponent agency is ASA(M&RA)

PART I - RATEE IDENTIFICATION

a. NAME OF RATEE (Last, First, Middle Initial)

b. PAY PLAN, SERIES/GRADE

c. ORGANIZATION/INSTALLATION

PART II - RATING CHAIN - YOUR RATING CHAIN FOR THE EVALUATION PERIOD IS:

RATER	NAME	POSITION
INTERMEDIATE RATER (Optional)	NAME	POSITION
SENIOR RATER	NAME	POSITION

PART III - VERIFICATION OF FACE-TO-FACE DISCUSSION

The following face-to-face discussions of duties, responsibilities, performance objectives, standards, and accomplishments for the rating period to took

	DATES	RATEE INITIALS	RATER INITIALS	INTERMEDIATE RATER INITIALS	SENIOR RATER INITIALS (If used)	DATE
INITIAL						
MIDPOINT						

PART IV - RATEE (Complete a, b, c below for this rating period)

a. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES. DUTY TITLE IS:

b. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES/INDIVIDUAL PERFORMANCE STANDARDS

TO BE USED FOR ESTABLISHING GS/KGS-9 AND ABOVE PERFORMANCE PLAN

C. LIST YOUR SIGNIFICANT CONTRIBUTIONS

TO BE USED FOR ESTABLISHING GS/KGS-9 AND ABOVE PERFORMANCE PLAN

SIGNATURE AND DATE

PART V - PERFORMANCE STANDARDS - SENIOR SYSTEM CIVILIAN POSITIONS

To derive Objectives ratings, apply the applicable performance standards below; the standards are written at the SUCCESS level, e.g., Ratee, in most cases:

TECHNICAL COMPETENCE. Exhibits technical knowledge, skills, and abilities to get desired results within established time frames and with the appropriate level of supervision. Sets and meets realistic milestones. Establishes priorities that reflect mission and organizational needs. Plans so that adequate resources are available. Makes prompt and sound decisions.

INNOVATION/INITIATIVE. Develops and implements or suggests better ways of doing business—methods, equipment, processes, resources. Seeks/accepts developmental opportunities. Serves on professional/technical committees, writes technical papers, joins professional societies to enhance personal knowledge and advance state-of-the-art of profession.

RESPONSIBILITY/ACCOUNTABILITY. Uses resources prudently and for intended purposes. Complies with DA emphasis programs, e.g., EEO/AA, safety/security, internal control, inventory management, quality assurance, personnel management, contract awards to small business concerns. Supports and encourages Total Army Quality (TAQ) approaches, e.g., team effort, continuous process/product improvement and customer satisfaction. Takes responsibility for personal errors, takes or proposes timely/adequate corrective measures. Establishes personal performance objectives that are challenging and reflect mission needs.

WORKING RELATIONSHIPS. Is an effective team player. Works well with group and others to get the job done. Exhibits a customer care attitude; e.g., shows respect to others; is courteous and seeks acceptable compromise in areas of difference.

COMMUNICATION. Provides or exchanges accurate/complete oral and written ideas and information in a timely manner. Listens effectively so that resultant actions show understanding of what was said. Coordinates so that all relevant individuals and functions are included in/informed of decisions and actions.

FOR SUPERVISORY POSITIONS ONLY:

ORGANIZATIONAL MANAGEMENT AND LEADERSHIP. Provides vision and communicates mission and organizational goals to all subordinates. Sets standard/leads by example. Implements/complies with appropriate DA emphasis programs. Secures/allocates/manages resources for effectiveness and efficiency. Takes timely and appropriate personnel actions. Develops subordinates through mentoring, counseling, providing challenging training and work assignments and timely performance evaluations. Recruits and retains high quality people by creating a positive environment that offers challenge and growth.

EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION (EEO/AA). Applies EEO principles to all aspects of personnel management (e.g., hiring, training, work assignments/schedules, discipline, counseling and awards). As appropriate, takes immediate corrective action if sexual harassment or other discriminatory/unfair treatment is observed, reported or suspected. Provides leadership and emphasis to the execution of the Affirmative Employment Plan. Participates in EEO/AA activities and encourages subordinates to do so.

KOREAN EMPLOYEE PERFORMANCE APPRAISAL (USFK REG 890-1)				DATE: (A)			
NAME: (B)		ORGANIZATION: (D)					
TITLE (C) GRADE							
PERIOD OF APPRAISAL: FROM: (E) TO: <input type="checkbox"/> ANNUAL <input type="checkbox"/> TRIAL PERIOD <input type="checkbox"/> SPECIAL		TIME ON PRESENT JOB: (F)		TIME UNDER PRESENT SUPV: (G)			
APPRAISAL ELEMENT: Item 5 applies only to situations where English is required. Item 6 applies only to supervisory personnel.		PERFORMANCE RATING: Indicate rating by an "X" in the appropriate box below. (H)					
		A. Outstanding		C. Average		E. Unsatisfactory	
		B. Above Average		D. Marginal			
		A	B	C	D	E	
1. Quantity of Work (Production and timelines)							
2. Quality of Work (Accuracy, avoidance of errors, etc)							
3. Cooperation. (Effective relationships)							
4. Initiative. (Originates improvements)							
5. English Ability (Consistent with job requirements)							
6. Supervision and Administration.							
OVERALL RATING: (I) <input type="checkbox"/> OUTSTANDING <input type="checkbox"/> SATISFACTORY <input type="checkbox"/> UNSATISFACTORY NOTE: Narrative justification for outstanding performance rating should be provided on the reverse side of this form. If necessary, use additional paper. A draft of a proposed citation should be attached.							
SUPERVISOR(S) EVALUATION: (J)							
EMPLOYEE'S COMMENT:							
EMPLOYEE: (K)		SIGNATURE		DATE:			
FIRST-LINE SUPERVISOR: (L)		SIGNATURE		DATE:			
SECOND-LINE SUPERVISOR: (M)		SIGNATURE		DATE:			
APPROVING OFFICIAL OR OUTSTANDING RATING: (N)		SIGNATURE		DATE:			

APPENDIX E

KOREAN EMPLOYEE PERFORMANCE APPRAISAL (USFK FORM 155EK)

1. Staffs, Department Chiefs, Directors, and Battalion Commanders should ensure that all USFK Forms 155EK (Korean Employee Performance Appraisal) are completed as follows:

- (A) Enter the date of preparation.
- (B) Enter the incumbent's name.
- (C) Enter the incumbent's job title and grade.
- (D) Enter the incumbents organization.
- (E) Choose and mark one
- (F) Enter the incumbent's time on present job.
- (G) Enter the incumbent's time under present supervisor.
- (H) Choose and mark the appropriate block for each question.
- (I) Choose and mark one. If an "outstanding" performance rating is given, a narrative justification should be provided on the reverse side of the form.
- (J) Enter the supervisor's evaluation.
- (K) Enter the employee's name.
- (L) Enter the first-line supervisor's name and title.
- (M) Enter the second-line supervisor's name and title.
- (N) Enter the final approving officer's name and title.

2. A Korean employee performance appraisal is not mandatory each year. However, when the supervisor determines that the employee is outstanding or unsatisfactory for that year, then the supervisor should process a performance appraisal form for that employee. If the supervisor recommends a cash award for a Korean employee, a DA Form 1256 should be attached along with the one-year performance plan.

INCENTIVE AWARD NOMINATION AND APPROVAL

For use of this form, see AR 672-20; the proponent agency is Office of the Deputy Chief of Staff for Personnel

PART 1 - TO BE COMPLETED BY OPERATING OFFICE

1. EMPLOYEE'S LAST NAME - FIRST NAME - MI	2. SOCIAL SECURITY NO.	3. ORGANIZATION (No abbreviations)
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4. PRESENT POSITION, TITLE, GRADE AND SALARY	5. POSITION HELD DURING PERIOD COVERED IN NOMINATION (If other than that shown in item 4)
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6. TYPE OF AWARD RECOMMENDED

ALL NOMINATIONS WILL BE JUSTIFIED AND INCLUDE THE DOCUMENTATION REQUIRED BY DA PAM 672-20.

a.	HONORARY		b.	MONETARY	
	DECORATION FOR EXCEPTIONAL CIVILIAN SERVICE			COMMANDER'S AWARD FOR CIVILIAN SERVICE	
	MERITORIOUS CIVILIAN SERVICE AWARD			ACHIEVEMENT MEDAL FOR CIVILIAN SERVICE	
	SUPERIOR CIVILIAN SERVICE AWARD			CERTIFICATE OF ACHIEVEMENT	
	OTHER (Specify)				
c. PERIOD OF SERVICE TO BE RECOGNIZED (MO/YR - MO/YR)					
					TIME OFF AWARD

7. NOMINATING OFFICIAL			
a.	TYPED NAME AND TITLE	b.	SIGNATURE
		c.	TELEPHONE NUMBER
		AREA CODE ()	
		d.	DATE

PART II - TO BE COMPLETED ONLY FOR AWARDS FORWARDED TO HQDA (DAPE-CPL)

8. INDICATE IF NOMINATION IS CONSISTENT WITH PARAGRAPH 2-2 IN AR 672-20 (Circle yes or no - If no, please explain on separate page)			
YES	a. TYPED NAME EQUAL EMPLOYMENT OPPORTUNITY OFFICER	b. SIGNATURE	c. DATE
NO			
YES	d. TYPED NAME CIVILIAN PERSONNEL OFFICER	e. SIGNATURE	f. DATE
NO			

PART III - TO BE COMPLETED BY LOCAL INCENTIVE AWARDS COMMITTEE - RECOMMEND

9.	APPROVAL <input type="checkbox"/>	DISAPPROVAL <input type="checkbox"/>	OTHER <input type="checkbox"/>
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COMPLETE FOR MONETARY AWARDS RECOMMENDED

AMOUNT RECOMMENDED \$	TANGIBLE MONETARY BENEFITS \$	INTANGIBLE BENEFITS	ESTIMATED FIRST YEAR SAVINGS \$
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PART IV TO BE COMPLETED BY APPROPRIATE APPROVING AUTHORITY (IES)

ACTION LEVEL	APPROVED (If monetary, indicate amount)	DIS-APPROVED	ADDITIONAL CASH AWARD	SIGNATURE, TITLE AND DATE
10. LOCAL COMMITTEE CHAIRPERSON				
11. INSTALLATION COMMANDER OR DESIGNATED REPRESENTATIVE				
12. MAJOR COMMAND REVIEW COMMITTEE				
13. COMMANDER OF MAJOR COMMAND OR DESIGNATED REPRESENTATIVE				
14. DEPARTMENT OF THE ARMY INCENTIVE AWARDS BOARD				

CHAPTER 14

PERFORMANCE APPRAISAL

14-1. **GENERAL.** The performance of civilian employees will be appraised fair and in such a way as to improve work performance, when necessary.

14-2. **OBJECTIVES.**

- a. To improve individual and organizational performance.
- b. To furnish a sound and continuing basis for effective supervisor-subordinate relationships.
- c. To ensure the periodic evaluation and recording of the quality of overall performance.
- d. To ensure that each employee is informed of the standards by which performance is evaluated and of the character of current performance.
- e. To ensure that all ratings are fair and objective.
- f. To use the performance appraisal to assist in determining the need for training, CIGs, or separation when performance is not adequate.
- g. To serve as the basis for recognizing outstanding performance and incentive awards decisions.

14-3. **RESPONSIBILITIES.**

- a. All designated supervisors are responsible for--
 - (1) Establishing performance requirements, whereby each employee under their supervision is informed of the quantity and quality of work expected in order to accomplish all aspects of the job satisfactorily.
 - (2) Keeping employees advised of the level at which their performance is progressing, identifying strong or weak points, ascertaining the cause of deficiencies, and initiating corrective action.
 - (3) Determining job training activities that will assist employees in improving their overall performance and enhance their future development.
 - (4) Preparing official performance appraisals.
 - (5) Initiating action to effect a change in assignment, CIG, or separation if, after a planned effort for improvement, performance is inadequate.

USFK Reg 690-1

(6) Initiating nominations for outstanding performance ratings and other honorary or cash awards for outstanding performance.

b. The CPOs will provide advice, assistance, and training to managers, supervisors, and employees, on the various aspects of the performance appraisal program.

14-4. PROCEDURES.

a. The APF and NAF Korean permanent and long-term temporary employees and those on indefinite appointments will be appraised IAW the procedures outlined below, using USFK Form 155EK (Korean Employee Performance Appraisal).

b. Periods of appraisals.

(1) Annual performance appraisals will be completed according to the schedule established by local commanders and servicing CPO. Rating periods normally cover one year. Special circumstances may sometimes require that a ratee be appraised in less than 12 months. This usually occurs when the ratee changes to another position. A rater may give an employee an annual performance appraisal in less than 12 months provided all the conditions listed below are met.

(a) The ratee has been under the performance requirements for at least 120 days.

(b) The ratee does not have an annual appraisal for the rating year. If the ratee has received an annual performance appraisal for that rating year, the rater should add the time to the next rating period rather than completing a second annual appraisal.

(c) The ratee has been in the continuing current position for at least six months.

(2) Thirty days before the end of the established rating period each year, the servicing CPO will provide rating supervisors with USFK Form 155EK for the employees to be rated. The rater need not complete this form for employees assessed as satisfactory. The rater will complete USFK Form 155EK in triplicate for all employees rated outstanding or unsatisfactory and distribute copies as follows: original to the employee, one copy retained by the immediate supervisor who maintains the employee's record, and one copy forwarded to the servicing CPO. When the employee is recommended for an outstanding rating, all copies of USFK Form 155EK and other supporting documents will be forwarded to the servicing CPO for processing. The due date for return to the servicing CPO is NLT 30 days after the end of the rating period for subsequent inclusion in the employee's OPF. Rating supervisors will record the overall performance rating (unsatisfactory, satisfactory, or outstanding) on the employee record card.

(3) Annual performance appraisals may be postponed for not more than three months when the rating official has not had enough time to observe the employee's performance in the present assignment because the supervisor or the employee is newly assigned, or when the employee has not been performing the regularly assigned work because of extended details or absences, or when extension is necessary to provide for a warning period.

14-5. PERFORMANCE REQUIREMENTS.

a. Performance requirements are established for each rating element based on what constitutes satisfactory work performance. There are six rating elements established on USFK Form 155EK. The first five rating elements, described below, pertain to both supervisory and nonsupervisory positions, and the last element pertains only to supervisory positions.

(1) Quantity of work. Evaluated and rated in terms of acceptable production during the rating period, timeliness of work accomplished, and meeting deadlines.

(2) Quality of work. Evaluated and rated in terms of accuracy and appearance of finished work; the comparative number of rejects, errors, or waste; degree to which specifications are met; thoroughness of information gathered and analysis of data; recommendations, judgments, and decisions; language and manner of presentation; and effectiveness in expressing ideas orally, in writing, or both.

(3) Cooperation. Evaluated and rated in terms of ability to maintain effective relationships, work harmoniously with others, consider viewpoints of others, and willingness to give assistance.

(4) Initiative. Evaluated and rated in terms of ability to recognize and define problems, identify alternative possible solutions, select the best course of action, and submit suggestions or present useful new ideas to improve operations.

(5) English ability. Evaluated and rated in terms of the level of spoken and written competence necessary for acceptable performance of assigned duties.

(6) Supervision and administration. Evaluated and rated in terms of effectiveness in selecting employees, assigning duties, evaluating work performance, training and developing subordinates, using incentive awards, administering constructive discipline, maintaining management-employee communications, administering leave, maintaining up-to-date and efficient job structure, and promoting safety and adherence to the principles of equal employment opportunity.

b. In appraising performance against established performance requirements, supervisors will--

(1) Regularly evaluate work performance of subordinates against realistic performance requirements, discuss with employees what is expected, how well goals are being met, and highlight employee achievements and shortfalls.

(2) Jointly identify weak and strong aspects of performance, causes for deficiencies, and training or self-development activities needed. Major emphasis will be placed on helping employees assess and improve work performance.

(3) Initiate appropriate personnel actions (for example, reassignment, CLG, or separation action) if, after a planned effort to achieve performance improvement, performance is inadequate.

14-6. RATING PERFORMANCE ELEMENTS.

a. Performance elements will be rated as follows:

(1) Outstanding (A). Applies when an employee's performance is exceptional when measured against the established performance requirement at least during the past six months of the rating period.

(2) Above average (B). Applies when an employee's performance is considered to have met all requirements with occasional outstanding performance.

(3) Average (C). Applies when an employee's overall performance during the rating period is considered to have met the minimum requirements with occasional outstanding or marginal work.

(4) Marginal (D). Applies when performance deficiencies have been identified that may be corrected by special training or by greater supervisory attention. Special attention will be given to identifying needed training and developing specific training and performance improvement plans.

(5) Unsatisfactory (E). Applies when an employee's performance is clearly below the established requirements. This rating, when assigned to elements critical for satisfactory job performance, requires a letter of warning to the employee and consideration of an appropriate personnel action, such as counseling, on-the-job training assistance, reassignment, CLG, or separation, as appropriate.

b. Three ratings are identified for use in evaluating the total work performance and for assigning the employee's overall rating; "outstanding," "satisfactory," and "unsatisfactory". Staff assistance is available from the servicing CPO when assigning an outstanding or unsatisfactory rating.

(1) Outstanding. Work performance is sustained at an exceptional level throughout the rating period and achievements are readily recognized as outstanding. The supervisor will recommend this overall rating when

performance is outstanding in all rating elements critical for satisfactory performance. All elements must be rated above average and the majority of the elements, to include those critical to job success, must be rated outstanding before an overall outstanding rating is assigned. An outstanding rating will not be processed until the employee has served a minimum of 12 months in a continuing current position. Exceptions to the 12 month incumbency are listed below.

(a) A position change resulting from application of RIF procedures or a management directed reassignment. In these cases, both the former and the current supervisor must attest to the high level performance in both jobs and provide written justification showing that performance was outstanding in all rating elements critical for satisfactory performance. A management directed reassignment may not be based on conduct or performance reasons.

(b) A position changed from temporary status to permanent status, which retains the same title, series, and grade, is considered a continuing current position.

(c) An employee who is moved from one office to another in a different area, during the rating period, may be considered for an outstanding rating if the position title, series and grade, remain unchanged, and both the losing and gaining supervisors attest to the performance and provide written justification.

(d) The provisions of subparagraph 14-4b(1) are met and both the losing and gaining supervisors attest to the performance and provide written justification.

(2) Satisfactory. Work performance falls among the ranges of above average, average, and marginal.

(3) Unsatisfactory. Efforts to correct an employee's inadequate work performance proved unsuccessful. An overall rating of unsatisfactory is appropriate--

(a) For nonsupervisory personnel when either the quantity of work or quality of work rating elements are unsatisfactory.

(b) For supervisory personnel, when any one of the three rating elements, quantity of work, quality of work, or supervision and administration, are unsatisfactory.

c. When an overall rating of outstanding is recommended, the immediate supervisor will prepare the required justification on the reverse side of USFK Form 155EK. Justification for the nomination will be concise and consist of--

(1) A brief listing, in narrative form, of the major duties of the employee's position critical to job success.

(2) A brief, factual statement of actual performance of the majority of those duties that describes clearly the manner in which the employee's performance exceeded applicable standards for satisfactory performance.

(3) A statement that performance of all other duties has not been less than satisfactory. After the concurrence of the next higher level supervisor, the immediate supervisor will forward USFK Form 155EK to the servicing CPO.

(4) The CPO will review the recommendation for regulatory compliance and forward it to the commander having authority to approve or disapprove outstanding ratings. The overall performance rating should not be discussed with the employee nor should the employee receive a copy of the official rating until the outstanding rating is approved. If the outstanding rating is disapproved, a rating of satisfactory is assigned.

d. When an overall rating of unsatisfactory is supported and the performance deficiencies have not been corrected through normal supervisory corrective action, the employee will be given a letter of warning. The letter will be signed by the rating supervisor and countersigned by the second level supervisor. The letter will be issued before the official overall rating of unsatisfactory is assigned, and the employee will be given at least 30 calendar days in which to improve performance. The warning letter will describe—

(1) The performance requirements for the position and how the employee's performance has failed to meet the requirements.

(2) How the employee may improve performance. The letter will state that the employee will have a reasonable opportunity to improve, and the date by which improvement must be shown.

e. If the employee's performance improves sufficiently within the 30 day warning period prescribed above, a satisfactory rating will be given. If the employee's performance fails to improve, the supervisor will prepare USFK Form 155EK with an overall rating of unsatisfactory, obtain second level supervisory concurrence, and submit a copy together with an SF 52-B to the servicing CPO specifically requesting that the employee be reassigned, CIG, or separated. The servicing CPO will then take one of the following actions:

(1) If the supervisor requests a reassignment or CIG, the normal CPO procedures for such actions will be followed.

(2) If the supervisor requests separation, the servicing CPO will determine whether the employee had previously performed satisfactorily in a lower graded position prior to placement in the current position. If the employee has no prior record of marginal or unsatisfactory performance, the employee may be placed in a vacant position in an organization under the same commander, provided that the commander approves the placement. (A placement under this authority will not take precedence over the assignment right of an employee affected by RIF (chapter 4) or the mandatory placement right of

employees in priority groups 1 through 3 (chapter 4).) Employees with a record of poor performance before the current job, will not be considered for placement. If the commander approves the placement, all records maintained by the former supervisor will be provided to the new supervisor. If the new supervisor is not satisfied with the employee's performance within 90 days, the new supervisor will initiate action to separate the employee. The new supervisor is responsible for documenting the unsatisfactory performance in the new job and will provide a brief description of the unsatisfactory performance in the remarks section of the SF 52-B that will be forwarded to the servicing CPO with the complete performance record file from both the old and new supervisors.

(3) If separation is recommended as the final action against the employee, procedures in chapter 10 of this regulation will apply.

f. When any element of performance is marginal, the employee will be advised of the specific aspects of performance that need improvement. Training needs will be identified and an individual training plan will be developed.

g. An employee may exercise rights under grievance and appeal procedures for CLG or separation resulting from a rating of unsatisfactory.

14-7. SUPERVISORS' EVALUATION. Supervisors will evaluate overall work assignments and performance of their employees. Supervisors will comment on the employee's strengths and weaknesses, efforts in meeting established job requirements, deficiencies identified, training needs and plans, interest in and qualification for promotion, and recommendations for promotion or reassignment.

14-8. EMPLOYEE'S COMMENTS.

a. The employee will assess and comment on supervisor/employee discussions on work assignments and performance rating, employee assignments and goals, and training and development plans.

b. The employee will be requested to sign the completed appraisal form to acknowledge that it has been discussed with him/her. If the employee refuses to sign the form, a meeting will be arranged with the next higher supervisor to resolve differences of opinion between the immediate supervisor and the employee being appraised. If the employee persists in refusing to sign the form, the supervisor will comment to that effect and sign the form. The next higher supervisor will review and sign the appraisal form to indicate concurrence.

14-9. TRIAL PERIOD.

a. Completing the trial period is the final step in the selection process. The trial period gives the employee an opportunity to demonstrate qualifications, integrity, personality, work habits, respect for higher authority and fellow employees, and willingness to learn and improve.

b. Supervisors of employees serving trial periods will receive notification of completion of the trial period from the servicing CPO at the beginning of the ninth month of the employee's trial period. This will normally be accomplished by a computer generated product that will be issued automatically. This notice gives the supervisor the option of retaining employees who have been successful in all elements of job performance, or to recommend additional training, reassignment, demotion, or separation, for employees whose performance are not successful in all elements of job performance or conduct. A USFK Form 155EK is not required for the trial period. CPOs without this computer capability will send the USFK Form 155EK to supervisors of employees due trial period appraisals as the notification of completion of trial period. In this situation, the supervisor will use the USFK Form 155EK to evaluate the employee's performance and conduct during the trial period. A recommendation for retention or separation will be made based on the USFK Form 155EK, the appraisal will be signed by the supervisor, and the form will be submitted to the servicing CPO.

c. If an employee has been absent from duty for an extended period of time (chapter 7, para 7-8), the supervisor will so advise the CPO. The servicing CPO will review the employee's leave record and determine if the employee's trial period should be extended. If an extension is required, the new completion date will be extended so that the employee completes six months in a work status after returning to duty.